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EXAMINER

STARKS, WILBERT L

ART UNIT PAPER NUMBER

2129

DATE MAILED: 04/13/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/868,667

Applicant(s)

LANNERT ET AL.

Examiner

Wilbert L. Starks, Jr.

Art Unit

2129

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 16 February 2005.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-18 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-18 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. In reviewing this case for appeal, Examiner discovered art that is applicable to reject the case under 102(e). since this is a new ground of rejection, this action is made **NONFINAL**.

Claim Rejections - 35 U.S.C. §101

2. 35 U.S.C. §101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

the invention as disclosed in claims 1-18 is directed to non-statutory subject matter.

3. Claims 1-18 are not claimed to be practiced on a computer, therefore, it is clear that the claims are not limited to practice in the technological arts. On that basis alone, they are clearly nonstatutory.

4. Regardless of whether any of the claims are in the technological arts, none of them is limited to practical applications in the technological arts. Examiner finds that *In re Warmerdam*, 33 F.3d 1354, 31 USPQ2d 1754 (Fed. Cir. 1994) controls the 35 U.S.C. §101 issues on that point for reasons made clear by the Federal Circuit in *AT&T Corp. v. Excel Communications, Inc.*, 50 USPQ2d 1447 (Fed. Cir. 1999). Specifically, the Federal Circuit held that the act of:

...[T]aking several abstract ideas and manipulating them together adds nothing to the basic equation. *AT&T v. Excel* at 1453 quoting *In re Warmerdam*, 33 F.3d 1354, 1360 (Fed. Cir. 1994).

Examiner finds that Applicant's "information indicative of a goal" references are just such abstract ideas.

5. Examiner bases his position upon guidance provided by the Federal Circuit in *In re Warmerdam*, as interpreted by *AT&T v. Excel*. This set of precedents is within the same line of cases as the *Alappat-State Street Bank* decisions and is in complete agreement with those decisions. *Warmerdam* is consistent with *State Street*'s holding that:

Today we hold that *the transformation of data, representing discrete dollar amounts, by a machine through a series of mathematical calculations into a final share price*, constitutes a practical application of a mathematical algorithm, formula, or calculation because it produces 'a useful, concrete and tangible result' -- *a final share price momentarily fixed for recording purposes and even accepted and relied upon by regulatory authorities and in subsequent trades.* (emphasis added) *State Street Bank* at 1601.

6. True enough, that case later eliminated the “business method exception” in order to show that business methods were not *per se* nonstatutory, but the court clearly *did not* go so far as to make business methods *per se* statutory. A plain reading of the excerpt above shows that the Court was *very specific* in its definition of the new *practical application*. It would have been much easier for the court to say that “business methods were *per se* statutory” than it was to define the practical application in the case as “...the transformation of data, representing discrete dollar amounts, by a machine through a series of mathematical calculations into a final share price...”

7. The court was being very specific.

8. Additionally, the court was also careful to specify that the “useful, concrete and tangible result” it found was “a final share price momentarily fixed for recording purposes and even accepted and relied upon by regulatory authorities and in subsequent trades.” (i.e. the trading activity is the further practical use of the real world monetary data beyond the transformation in the computer – i.e., “post-processing activity”.)

9. Applicant cites no such specific results to define a useful, concrete and tangible result. Neither does Applicant specify the associated practical application with the kind of specificity the Federal Circuit used.

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10. Furthermore, in the case *In re Warmerdam*, the Federal Circuit held that:

...[T]he dispositive issue for assessing compliance with Section 101 in this case is whether the claim is for a process that goes beyond simply manipulating 'abstract ideas' or 'natural phenomena' ... As the Supreme Court has made clear, '[a]n idea of itself is not patentable, ... taking several abstract ideas and manipulating them together adds nothing to the basic equation'. *In re Warmerdam* 31 USPQ2d at 1759 (emphasis added).

11. Since the Federal Circuit held in *Warmerdam* that this is the “dispositive issue” when it judged the usefulness, concreteness, and tangibility of the claim limitations in that case, Examiner in the present case views this holding as the dispositive issue for determining whether a claim is “useful, concrete, and tangible” in similar cases. Accordingly, the Examiner finds that Applicant manipulated a set of abstract “information indicative of a goal” to solve purely algorithmic problems in the abstract (i.e., what *kind* of “information” is used in the goal? Algebraic word problems? Boolean logic problems? Fuzzy logic algorithms? Probabilistic word problems? Philosophical ideas? Even vague expressions, about which even reasonable persons could differ as to their meaning? Combinations thereof?) Clearly, a claim for manipulation of “natural language input” is provably even more abstract (and thereby less limited in practical application) than pure “mathematical algorithms” which the Supreme Court has held are per se nonstatutory – in fact, it *includes* the expression of nonstatutory mathematical algorithms.

12. Since the claims are not limited to exclude such abstractions, the broadest reasonable interpretation of the claim limitations includes such abstractions. Therefore, the claims are impermissibly abstract under 35 U.S.C. 101 doctrine.

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13. Since *Warmerdam* is within the *Alappat-State Street Bank* line of cases, it takes the same view of “useful, concrete, and tangible” the Federal Circuit applied in *State Street Bank*. Therefore, under *State Street Bank*, this could not be a “useful, concrete and tangible result”. There is only manipulation of abstract ideas.

14. The Federal Circuit validated the use of *Warmerdam* in its more recent *AT&T Corp. v. Excel Communications, Inc.* decision. The Court reminded us that:

Finally, the decision in *In re Warmerdam*, 33 F.3d 1354, 31 USPQ2d 1754 (Fed. Cir. 1994) is not to the contrary. *** The court found that the claimed process did nothing more than manipulate basic mathematical constructs and concluded that ‘taking several abstract ideas and manipulating them together adds nothing to the basic equation’; hence, the court held that the claims were properly rejected under §101 ... Whether one agrees with the court’s conclusion on the facts, the holding of the case is a straightforward application of the basic principle that mere laws of nature, natural phenomena, and abstract ideas are not within the categories of inventions or discoveries that may be patented under §101. (emphasis added) *AT&T Corp. v. Excel Communications, Inc.*, 50 USPQ2d 1447, 1453 (Fed. Cir. 1999).

15. Remember that in *In re Warmerdam*, the Court said that this was the dispositive issue to be considered. In the *AT&T* decision cited above, the Court reaffirms that this is the issue for assessing the “useful, concrete, and tangible” nature of a set of claims under §101 doctrine. Accordingly, Examiner views the *Warmerdam* holding as the dispositive issue in this analogous case.

16. The fact that the invention is merely the manipulation of *abstract ideas* is clear. The data referred to by Applicant’s phrase “information indicative of a goal” is simply an abstract construct that does not limit the claims to the transformation of real world data

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(such as monetary data or heart rhythm data) by some disclosed process.

Consequently, the necessary conclusion under *AT&T*, *State Street* and *Warmerdam*, is straightforward and clear. The claims take several abstract ideas (i.e., “information indicative of a goal” in the abstract) and manipulate them together adding nothing to the basic equation. Claims 1-18 are, thereby, rejected under 35 U.S.C. §101.

17. Regarding the “system” recitals in claims 10 – 18, the invention is still found to be nonstatutory. Any other finding would be at variance with current case law. Specifically, the Federal Circuit held in *AT&T v. Excel*, 50 USPQ2d 1447 (Fed. Cir. 1999) that:

Whether stated implicitly or explicitly, we consider the scope of Section 101 to be the same regardless of the form -- machine or process -- in which a particular claim is drafted. *AT&T v. Excel*, 50 USPQ2d 1447, 1452 citing *In re Alappat*, 33 F.3d at 1581, 31 USPQ2d at 1589 (Rader, J., concurring) (emphasis added.)

18. Examiner considers the scope of Section 101 to be the same regardless of whether Applicant *claims* a “process”, “machine”, or “product of manufacture”. While the “system” recitals in the preambles of claims 10 - 18 make the claims ostensibly drawn to be “apparatus” claims, they are insufficient by themselves to limit the claims to statutory subject matter. Examiner’s position is clearly consistent with *Alappat*, and *AT&T* and is implicitly consistent with *Warmerdam* and *State Street*. Accordingly, those claims are also properly rejected.

Claim Rejections - 35 U.S.C. §112

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19. The following is a quotation of the first paragraph of 35 U.S.C. §112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

20. Claims 1-18 are rejected under 35 U.S.C. §112, first paragraph because current case law (and accordingly, the MPEP) require such a rejection if a §101 rejection is given because when Applicant has not in fact disclosed the practical application for the invention, as a matter of law there is no way Applicant could have disclosed *how* to practice the *undisclosed* practical application. This is how the MPEP puts it:

(“The how to use prong of section 112 **incorporates as a matter of law** the requirement of 35 U.S.C. 101 that the specification disclose as a matter of fact a practical utility for the invention.... If the application fails as a matter of fact to satisfy 35 U.S.C. § 101, then the application also fails as a matter of law to enable one of ordinary skill in the art to use the invention under 35 U.S.C. § 112.”); In re Kirk, 376 F.2d 936, 942, 153 USPQ 48, 53 (CCPA 1967) (“Necessarily, compliance with § 112 requires a description of how to use presently useful inventions, **otherwise an applicant would anomalously be required to teach how to use a useless invention.**”). See, MPEP 2107.01(IV), quoting In re Kirk (emphasis added).

Therefore, claims 1-18 are rejected on this basis.

Claim Rejections - 35 U.S.C. § 102

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the

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applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

21. Claims 1, 2, 4-6, 8-11, 13-15, and 17 are rejected under 35 U.S.C. §102(e) as being anticipated by Goodkovsky¹. Specifically,

Claim 1

22. Claim 1's "(a) receiving goal-related information indicative of a goal, the goal-related information specifying one or more learning objectives of the presentation, the goal being associated with a **training objective**;" is anticipated by Goodkovsky, col. 41, lines 40-52, where it recites:

providing a Tutor Module comprising at least one learning paradigm and at least one authoring tool, each learning paradigm associating media data of the Domain Module with at least one **training objective** and at least one skill set, each authoring tool defining for the Tutor Module a course module comprising audience data, job/task data, cognitive data, and **training objectives**, the audience data and cognitive data quantifying an educational goal, the course module being based on at least one relational association of course module elements to establish situated performance patterns;

23. Claim 1's "(b) querying a user for user-related information based on said one or more learning objectives of the presentation;" is anticipated by Goodkovsky, col. 41, lines 53-54, where it recites:

providing the Domain Module data to the learner through an interface;

¹ Goodkovsky (U.S. Patent Number 6,807,535 B2; dated 19 OCT 2004; class 706; subclass 003).

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24. Claim 1's "(c) analyzing the user-related information from user responses to ascertain user characteristics;" is anticipated by Goodkovsky, col. 41, lines 55-59, where it recites:

monitoring actions of the learner interacting with the Domain Module;

determining a level of knowledge of the learner for at least one skill set based on the actions of the learner interacting with the Domain Module;

25. Claim 1's "(d) integrating instruction-related information that motivates accomplishment of the goal for use in the presentation based on the user characteristics; and" is anticipated by Goodkovsky, col. 42, lines 1-5, where it recites:

selecting a training method based on the predicted level of knowledge of the learner;

generating at least one course module comprising a sequence of selected training actions, based on the level of knowledge of the learner;

26. Claim 1's "(e) evaluating progress toward the goal and providing feedback based on the user characteristics that further motivates accomplishment of the goal." is anticipated by Goodkovsky, col. 42, lines 9-10, where it recites:

monitoring progress by the learner through the course module;

Claim 2

27. Claim 2's "The method for creating a presentation as recited in claim 1, including the step of installing a particular **feedback model based on the characteristics of the user.**" is anticipated by Goodkovsky, col. 42, lines 20-23, where it recites:

providing **directed training of said course module based on the predicted level of knowledge of the learner** for at least one additional skill set;

Claim 4

28. Claim 4's "The method for creating a the presentation as recited in claim 1, including the step of **creating a tailored presentation based on the characteristics of the user.**" is anticipated by Goodkovsky, col. 42, lines 16-22, where it recites:

predicting a level of knowledge of the learner for at least one additional skill set based on at least one of the identified behavioral patterns, an associate of the skills sets, and the actions of the learner;

providing **directed training of said course module based on the predicted level of knowledge of the learner** for at least one additional skill set;

Claim 5

29. Claim 5's "The method for creating a the presentation as recited in claim 4, including the step of **storing** portions of the tailored presentation based on the characteristics of the user." is anticipated by Goodkovsky, col. 38, lines 5-8, where it recites:

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a computer having an input for entry of information, **a memory for storing information**, a CPU for executing programs and an output for presentation of results of execution of a program; and

Claim 6

30. Claim 6's "The method for creating the presentation as recited in claim 1, including the step of selecting examples based on the characteristics of the user." is anticipated by Goodkovsky, col. 42, lines 16-22, where it recites:

predicting a level of knowledge of the learner for at least one additional skill set based on at least one of the identified behavioral patterns, an associate of the skills sets, and the actions of the learner;

providing **directed training of said course module based on the predicted level of knowledge of the learner** for at least one additional skill set;

Claim 8

31. Claim 8's "The method for creating a the presentation as recited in claim 1, including the step of tailoring feedback based on a character profile based on the user responses." is anticipated by Goodkovsky, col. 42, lines 16-22, where it recites:

predicting a level of knowledge of the learner for at least one additional skill set based on at least one of the identified behavioral patterns, an associate of the skills sets, and the actions of the learner;

providing **directed training of said course module based on the predicted level of knowledge of the learner** for at least one additional skill set;

Claim 9

32. Claim 9's "The method for creating a the presentation as recited in claim 1, including the step of presenting a tailored simulation based on characteristics of the user." is anticipated by Goodkovsky, col. 42, lines 16-22, where it recites:

predicting a level of knowledge of the learner for at least one additional skill set based on at least one of the identified behavioral patterns, an associate of the skills sets, and the actions of the learner;

providing **directed training of said course module based on the predicted level of knowledge of the learner** for at least one additional skill set;

Claim 10

33. Claim 10's "(a) a processor;" is anticipated by Goodkovsky, col. 38, lines 5-8, where it recites:

a computer having an input for entry of information, a memory for storing information, a CPU for executing programs and an output for presentation of results of execution of a program; and

34. Claim 10's "(b) a memory that stores goal-related information under the control of the processor, the goal-related information specifying one or more learning objectives of the presentation, the goal being associated with a training objective" is anticipated by Goodkovsky, col. 41, lines 40-52, where it recites:

providing a Tutor Module comprising at least one learning paradigm and at least one authoring tool, each learning paradigm associating media data of the Domain Module with at least one **training objective** and at least one skill set, each authoring tool defining for the Tutor Module a course module comprising audience data, job/task data, cognitive data, and **training objectives**, the audience data and cognitive data quantifying an educational

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goal, the course module being based on at least one relational association of course module elements to establish situated performance patterns;

35. Claim 10's "(c) logic that queries a user for user-related information based on said one or more learning objectives of the presentation;" is anticipated by Goodkovsky, col. 41, lines 53-54, where it recites:

providing the Domain Module data to the learner through an interface;

36. Claim 10's "(d) logic that analyzes the user-related information from user responses to ascertain user characteristics;" is anticipated by Goodkovsky, col. 41, lines 55-59, where it recites:

monitoring actions of the learner interacting with the Domain Module;

determining a level of knowledge of the learner for at least one skill set based on the actions of the learner interacting with the Domain Module;

37. Claim 10's "(e) logic that integrates progress toward the goal and providing feedback based on the user characteristics that further motivates accomplishment of the goal; and" is anticipated by Goodkovsky, col. 42, lines 1-5, where it recites:

selecting a training method based on the predicted level of knowledge of the learner;

generating at least one course module comprising a sequence of selected training actions, based on the level of knowledge of the learner;

38. Claim 10's "(f) logic that evaluates progress toward the goal and providing feedback based on the user characteristics that further motivates accomplishment of the goal.

monitoring progress by the learner through the course module;

Claim 11

39. Claim 11's "The apparatus that creates the presentation as recited in claim 10, including logic that instantiates a particular feedback model based on the characteristics of the user." is anticipated by Goodkovsky, col. 42, lines 20-23, where it recites:

providing directed training of said course module based on the predicted level of knowledge of the learner for at least one additional skill set;

Claim 13

40. Claim 13's "The apparatus that creates the presentation as recited in claim 10, including logic that creates a tailored presentation based on the characteristics of the user." is anticipated by Goodkovsky, col. 42, lines 16-22, where it recites:

predicting a level of knowledge of the learner for at least one additional skill set based on at least one of the identified behavioral patterns, an associate of the skills sets, and the actions of the learner;

providing directed training of said course module based on the predicted level of knowledge of the learner for at least one additional skill set;

Claim 14

41. Claim 14's "The apparatus that creates the presentation as recited in claim 10, including logic that stores portions of the tailored presentation based on the

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characteristics of the user." is anticipated by Goodkovsky, col. 41, lines 40-52, where it recites:

providing a Tutor Module comprising at least one learning paradigm and at least one authoring tool, each learning paradigm associating media data of the Domain Module with at least one **training objective** and at least one skill set, each authoring tool defining for the Tutor Module a course module comprising audience data, job/task data, cognitive data, and **training objectives**, the audience data and cognitive data quantifying an educational goal, the course module being based on at least one relational association of course module elements to establish situated performance patterns;

This claim is further rejected under §112, first paragraph because Applicant has not disclosed how he actually realizes a "logic that stores" information. "Logic" is inherently memoryless and must itself be stored on a computer readable medium.

Claim 15

42. Claim 15's "The apparatus that creates the presentation as recited in claim 10, including logic that selects examples based on the characteristics of the user." is anticipated by Goodkovsky, col. 42, lines 16-22, where it recites:

predicting a level of knowledge of the learner for at least one additional skill set based on at least one of the identified behavioral patterns, an associate of the skills sets, and the actions of the learner;

providing directed training of said course module based on the predicted level of knowledge of the learner for at least one additional skill set;

Claim 17

43. Claim 17's "The apparatus that creates the presentation as recited in claim 10, including logic that tailors feedback based on a character profile based on the user responses." is anticipated by Goodkovsky, col. 42, lines 16-22, where it recites:

predicting a level of knowledge of the learner for at least one additional skill set based on at least one of the identified behavioral patterns, an associate of the skills sets, and the actions of the learner;

providing directed training of said course module based on the predicted level of knowledge of the learner for at least one additional skill set;

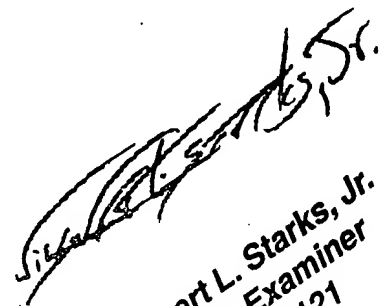
Conclusion

44. Since new grounds of rejection were raised in this action, this action is made NONFINAL.

45. Any inquiry concerning this communication or earlier communications from the Examiner should be directed to Wilbert L. Starks, Jr. whose telephone number is (571) 272-3691.

Alternatively, inquiries may be directed to the following:

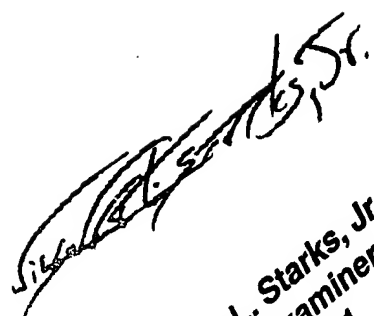
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Wilbert L. Starks, Jr.
Primary Examiner
Art Unit - 2121

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WLS

11 April 2005

A handwritten signature in black ink, slanted upwards from left to right. The signature appears to read "Wilbert L. Starks, Jr." with a stylized, cursive script.

Wilbert L. Starks, Jr.
Primary Examiner
Art Unit - 2121